



TRANSPORTATION ENHANCEMENTS

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Overview

Transportation Enhancements (TE) are transportation-related activities that are designed to strengthen the cultural, aesthetic, historic, and environmental aspects of our transportation infrastructure. The TE program provides for the implementation of a variety of nontraditional projects, with examples ranging from the restoration of historic transportation facilities to construction of bike and pedestrian facilities, landscaping and scenic beautification, and the mitigation of water pollution from highway runoff. The establishment of this program offers broad opportunities and federal dollars to undertake unique and creative actions to integrate transportation into our communities and environment. TE activities must relate to the intermodal surface transportation system in function, proximity, or impact.

The TE program is a reimbursement program, not a grant program. Your proposed project must be selected, approved, programmed, and contracted with the Kentucky Transportation Cabinet (KYTC) prior to the expenditure of any funds.

Eligibility

The only applicants eligible for this funding are state and local government agencies. Projects are to serve a public purpose in perpetuity, and the facilities and/or services provided are to be on a nonprofit basis. Projects by nonprofit organizations are to be in partnership with a government sponsor (state or local government agency) in order to receive funding. **All arrangements for funding and long-term maintenance should be made prior to programming of TE funds.**

Eligible Activities

At a minimum, all projects shall meet both of the following requirements to be considered for selection:

Relationship to Surface Transportation

The applicant shall establish how the project relates to the surface transportation system. Surface transportation has been interpreted to mean all elements of the intermodal transportation system, exclusive of aviation and military transportation. For purposes of TE eligibility, surface transportation includes canals as surface transportation. The required relationship must be one of function, proximity, and/or impact. Therefore, all project applications will identify:

- Location of the project in reference to specific highways, railroads, or canals
- Purpose of the project
- Impact the project may have on the transportation system
- Other parameters that establish this relationship

Proximity to a highway or transportation facility alone is not sufficient to establish a relationship to surface transportation. A project may relate to surface transportation

without having a current or past transportation function. For example, a scenic or historic site may have a strong relationship to surface transportation but not function as a transportation facility.



Grand Rivers walking trail and jetty

A project application that does not include a clearly written explanation of the project's relationship to surface transportation shall be deemed ineligible for selection.

Twelve Eligible Categories

A project application shall meet the requirements of at least one of the following twelve categories to be considered for TE funding. If projects meet the requirements of more than one eligible category, applicants should identify primary and secondary categories. TE projects may be stand-alone projects or integral parts of larger projects.

- Pedestrian and bicycle facilities
- Pedestrian and bicyclist safety and education
- Acquisition of scenic or historic easements & sites, including battlefields
- Scenic or historic highway programs
- Landscaping and scenic beautification
- Historic preservation
- Historic transportation buildings
- Rail corridor preservation
- Inventory, control, and removal of outdoor advertising
- Archaeological planning and research
- Environmental mitigation
- Transportation museums

I. Pedestrian & Bicycle Facilities

The transportation relationship for projects in this category is to provide facilities that encourage non-motorized transportation.

Building new facilities and improving existing ones to improve the transportation system for pedestrians and bicyclists are eligible for TE funding. Such projects would

encourage healthful physical activity, provide safe accommodation, or enhance aesthetic routing or design.

These facilities, such as the following, would provide connectivity between distinct origin and destination points, such as residential, recreational, commercial, historic, and educational development. Projects do not need to be located on federal-aid highway routes.

Eligible Activities

- Bicycle-lane striping
- Bicycle lockers
- Bicycle parking and bus racks
- Bicycle racks
- Bicycle trails
- Crosswalks
- Curb ramps
- Pavement of existing shoulders along a designated bicycle route
- Shared-use paths (e.g., pedestrian/bicycle trail)
- Sidewalks
- Streetscape (primary purpose for pedestrian use)

Ancillary facilities not related to a streetscape project, such as the following, are also eligible but shall not exceed 15 percent of the total cost of a project.

Ancillary Activities

- Information kiosks
- Landscaping
- Lighting
- Public restrooms
- Rest Areas
- Showers
- Signs*, guidebooks, and maps
- Street furniture
- Vehicular parking directly related to a bicycle/pedestrian facility
- Water fountains

* Signing shall comply with the Manual of Uniform Traffic Control Devices (MUTCD)

Ineligible Activities

- Facilities used as an incidental part of new transportation projects to accommodate routine use by pedestrians and bicycles (e.g., sidewalks, wide curb lanes, required curb ramps, and paved shoulders)
- Isolated recreational or loop and rails that do not connect multiple land uses

The majority of project expenses shall cover the design, right-of-way acquisition, and construction phases of projects. Routine maintenance projects for existing facilities are not eligible; however, maintenance responsibilities and funding sources shall be identified within the applications. The American Association of State Roadway and Transportation Officials (AASHTO) standards for pedestrian and bicycle facilities shall be followed. Sidewalks shall be a minimum of five (5) feet wide where possible and shared-use paths shall be a minimum of ten (10) feet wide.

All projects must be compliant with the Americans with Disabilities Act (ADA) requirements.

Streetscape improvements for historic districts shall be in compliance with [*Kentucky Streetscape Design Guidelines for Historic Commercial Districts*](#).

II. Pedestrian & Bicyclist Safety & Education

The transportation relationship for projects in this category is to make non-motorized transportation use safer in Kentucky.

This category allows communities to promote non-motorized transportation through safety and educational programs and encourages healthy physical activity.

A definitive period of participation (project duration) shall be clearly outlined in the application. Projects need not be located on federal-aid roadway routes. Efforts shall not duplicate those being conducted with other funds through state and community traffic-safety programs.

Eligible Activities

- Educational training materials
 - Brochures
 - Videotapes
 - Limited staff salaries
 - Space Rental
- Non-construction costs to provide safety training classes and facilitator fees

III. Scenic or Historic Acquisitions

The transportation relationship for projects in this category is to protect or provide viewing access to scenic and historic view sheds from surface transportation systems. Projects shall protect the aesthetics of the area for the traveling public.

Purchasing, donating, transferring, and trading of lands or easements on lands that possess significant scenic, historic, natural, aesthetic, visual, or open-space values (including property listed or eligible to be listed in the National Register of Historic Places) are eligible for TE funding. This type of acquisition may be used when roadway

construction creates pressure that may result in development that obscures driver's views from the road or trail of a scenic or historic site.

For acquisition of property or easement that is a substantial distance from the roadway, the property shall be determined to make a contribution to the scenic or historic view shed. The view or historic site shall be preserved in perpetuity.

Eligible Activities

- Acquisition of property under pressure to be developed in a manner incompatible with scenic or historic areas immediately adjacent to a roadway being constructed or rehabilitated
- Acquisition of property contributing to a view shed at risk of being lost or destroyed without public assistance
- Development or rehabilitation of a roadway turnout, overlook, or viewing area along a state roadway
- Acquisition of property or easements to preserve battlefields

IV. Scenic or Historic Highway Programs

The Transportation relationship for projects in this category is to protect or enhance the scenic, historic, cultural, or natural integrity of designated scenic or historic roadways for the appreciation of the traveling public.

Project and system planning for the protection and enhancement of state or federally designated scenic or historic roadways is eligible for TE funding. Projects shall primarily serve travelers on these designated roadways.

Eligible Activities

- Protection of view sheds (see requirements of Category III)
- Landscaping (see requirements of Category V)
- Design and construction of scenic turnouts, overlooks, and viewing areas
- Design and construction of scenic turnouts, overlooks, and viewing areas shall be located directly along designated scenic or historic roadways. Historic-marker signs may be included as part of the scenic turnouts.
- Construction of visitor, tourist, or welcome (VTW) centers, subject to the following requirements:
 - VTW Centers must serve travelers visiting designated scenic or historic roadways. The center need not be immediately adjacent to a federal-aid roadway.
 - The VTW center shall be the only one serving the designated scenic or historic roadway within a thirty (30) mile radius.

- The VTW center shall be owned by the public or by a nonprofit entity and be open to the public a minimum of thirty-two (32) hours per week. TE funds shall not be used for staffing, operation, or maintenance costs.
- Rehabilitation and renovation of an existing historic building to be used as the VTW center serving a scenic or historic roadway may be considered.
- A building may function jointly as a VTW center and office space for another nonprofit or public agency; however, only the portion that serves as a VTW center is eligible for TE funding. Construction costs for interiors and parking (components used for a VTW center) may be included.

V. Landscaping and Scenic Beautification

The transportation relationship for projects in this category is to enhance the view and experience for the traveling public.



Whitehaven Welcome Center, Paducah

Streetscape improvements, particularly those specific to eligible historic districts, shall be in compliance with the [Kentucky Streetscape Guidelines for Historic Commercial Districts](#). Use of vegetation native to the region is encouraged.

The FHWA Roadside Vegetation Management Website includes additional information: www.fhwa.dot.gov/environment/vegmgmt/

Eligible Activities

- Landscaping
- Street furniture
- Lighting
- Public art

- Utility relocation or burial*
- Streetscapes
- Restoring native plants
- Enhanced roadside vegetation management
- Planning, design, and construction of the above facilities

*Eligible utility relocation or burial shall constitute no more than 25 percent of the requested TE funds.



St. Clair Street Mall, Frankfort

VI. Historic Preservation

The transportation relationship shall be one of the following:

- The site historically served a significant and unique role in the surface transportation system.
- The site was significant in the manufacturing of transportation equipment.
- The project will preserve, restore, or enhance historic sites with a surface transportation relationship.
- The project will preserve, restore, or enhance historic sites that have been or will be impacted by roadway construction or rehabilitation due to proximity and impact.

Projects in this category should attract tourists to the community and be an educational tool for the public.

Historic properties shall be listed in or eligible for listing in the National Register of Historic Places. The Kentucky Heritage Council (KHC) administers the National Register Program.

All projects having an impact on historic properties shall be in compliance with the [*Secretary of the Interior's Standards for the Treatment of Historic Properties*](#).

All historic preservation projects must relate to surface transportation.

A preservation project that involves the restoration of a historic building with either a current or historic transportation function shall be eligible under this category or under Category VII. This category includes aspects of historic preservation, including:

- Identification
- Evaluation
- Documentation
- Acquisition
- Rehabilitation
- Interpretation
- Restoration
- Stabilization

of any historic district, site, structure, object, or landscape.

Eligible interior work includes activities for structural integrity and for adaptation of a building for its functional use.

[Eligible Activities](#)

- Interior and exterior rehabilitation or restoration, including architectural plans and specifications
- Updating of mechanical, plumbing, wiring systems, including heating, ventilation, and air-conditioning units
- Satisfying requirements for compliance with ADA and local building codes

[VII. Rehabilitation of Historic Transportation Buildings](#)

The transportation relationship for projects in this category is to protect and rehabilitate structures that historically have served as substantial parts of the surface transportation system.

This category includes aspects of historic preservation including

- Identification
- Evaluation
- Documentation
- Acquisition
- Rehabilitation
- Interpretation

- Restoration
- Stabilization

of any historic district, site, structure, object, or landscape. Eligible interior work includes activities needed for structural integrity and for adaptation of the building for its functional use.

All projects having an impact on historic properties shall be in compliance with the *Secretary of the Interior's Standards for the Treatment of Historic Properties*.

All projects pertaining to the rehabilitation of historic transportation buildings must relate to surface transportation.

Eligible Activities

- Rehabilitation of historic transportation buildings and structures associated with the operation, passenger and freight use, construction, or maintenance of any mode of surface transportation
- Structural stabilization
- Updating of mechanical, plumbing, and wiring systems, including heating, ventilation, and air conditioning (HVAC) units
- Providing facilities required for compliance with ADA and local building codes
- Satisfying requirements for compliance with ADA and local building codes
- Restoration of railroad depots, bus stations, customhouses, tollhouses, and ferry terminals*
- Restoration of canals or bridges for pedestrian use*

*Each building or structure shall be listed or eligible to be listed in the National Register of Historic Places or shall be a contributor to a National Register Historic District.

VIII. Rail Corridor Preservation

The transportation relationship for projects in this category is to preserve a corridor for future transportation use.

The acquisition of railroad rights of way and the planning, rehabilitation, and development of abandoned railway corridors for public use as bicycle, pedestrian, or equestrian trails are eligible for TE funding. The development and rehabilitation of rail corridors shall be open to the general public. The development of a pedestrian and/or bicycle trail shall follow the same eligibility requirements as those in Category I.



Vanceburg Depot

If the railroad corridor or portions of the corridor have been rail-banked under 16 U.S.C. 1247(d), there must be an agreement stating that the corridor is subject to restoration or reconstruction for railroad purposes. There must be an agreement specifying payback provisions if the restoration for railroad purposes takes place before the end of the economic or useful life of the project.

IX. Inventory, control, & Removal of Outdoor Advertising

The transportation relationship for projects in this category is to improve the aesthetics of view sheds from the roadways for the traveling public.

Development and implementation of public tourism-oriented signage initiatives designed to reduce the proliferation of outdoor advertising devices and billboards or to reduce the number of advertising devices or signs are eligible for TE funding.



Removal of existing outdoor advertising structures shall be carried out in conformance with the KYTC Relocation Assistance Guidance manual available from the Policy Support Branch of the KYTC.

Eligible Activities

- Inventory of billboards*
- Removal of illegal and nonconforming outdoor advertising signs

*Billboards are defined as off-premise signs that advertise goods and services not found at the site of the signs

X. Archaeological Planning and Research

The transportation relationship for projects in this category is to help preserve archaeological data and artifacts, support transportation planning, and enhance the interpretation of the historic context.

The project shall be consistent with the [Secretary of the Interior's Standards for the Treatment of Historic Properties](#) and the Kentucky Heritage Council's [Specifications for Conducting Fieldwork and Preparing Cultural Resources Assessment Reports](#).

Additional information is available on-line at www.cr.nps.gov/local-law/arch and www.heritage.ky.gov/reports/specs.pdf

Eligible Activities

- Archaeological planning and research on sites receiving TE funds
- Experimental projects in archaeological site preservation and interpretation
- Planning to improve identification, evaluation, and treatment of archaeological sites and using data from transportation-related archaeological sites
- Data recovery, development of sensitivity models, research designs to guide future surveys, and interpretation of sites



Old paving and mooring ring from
Portland Wharf Park, Louisville

XI. Environmental Mitigation

The transportation relationship for projects in this category is to mitigate environmental impacts and improve the environmental quality of a transportation system.

Environmental projects that mitigate water pollution from roadway runoff and projects that reduce vehicle-caused wildlife mortality while maintaining habitat connectivity are eligible for TE funding.

Projects that demonstrate aesthetic and ecological methods for mitigation are encouraged. Projects shall be limited to those that are ancillary to the environmental requirements and procedures for project-specific mitigation. Funds shall not be used to finance required environmental mitigation work.

Eligible Activities

- Retrofitting an existing roadway by creating a wetland to filter roadway runoff based on the impacts from the road in terms of water pollution
- Improving streams and drainage channels through landscaping to promote filtering and improve the overall water-quality conditions of receiving channels
- Providing payment in-kind for existing roadway water-quality impacts that warrant mitigation to regional or water-shed planned improvement projects
- Preserving, and mitigating damage to, underground water systems such as karst topography
- Providing educational activities, facilities, and training dedicated to mitigation of water pollution
- Reducing vehicle-caused wildlife mortality



This reduction shall not be limited to threatened and endangered species and shall be based on migration patterns, habitat use, and distribution and crossing characteristics of the wildlife established through data collection on safety of motorists, habitat fragmentation, and wildlife mortality. Examples of projects to reduce vehicle-caused wildlife mortality include:

- Wildlife underpasses or overpasses
- Measures at areas identified as crossings for wildlife, such as fencing and other markings and mitigation techniques
- Bridge extensions to provide or improve wildlife passage and wildlife habitat connectivity
- Monitoring and data collection of habitat fragmentation and vehicle-related wildlife mortality
- Roadside devices designed to reduce wildlife-vehicle conflicts

If a direct measure to reduce wildlife mortality is determined to be infeasible, it may be possible to provide for the loss of wildlife due to vehicle collisions by developing new habitat resources or improving existing habitat resources to support additional population numbers.

XII. Transportation Museums

The transportation relationship for projects in this category is to share elements of surface transportation with the public.

A transportation museum or transportation display must be for surface transportation. For multiple-purpose museums, only costs attributable to a surface transportation focus are eligible for TE funds. The museum must follow current best practices established by the museum profession.

Transportation museums established using TE funds must:

- Be a legally organized nonprofit institution or part of a nonprofit institution or government entity
- Be essentially educational in nature
- Have an official stated mission
- Have one full-time paid professional staff member who has museum knowledge and experience and is delegated authority and allocated financial resources sufficient to operate the museum effectively
- Present regularly scheduled programs and exhibits that use and interpret objects for the public according to accepted standards
- Have a formal and appropriate program of documentation, care, and use of collections and/or tangible objects
- Have a formal and appropriate program of presentations and maintenance of exhibits

Eligible Activities

- Construction of a new facility or an addition to an existing facility
- Conversion of an existing facility
- Purchase of artifacts necessary for the creation and operation of the facility

Museums shall be open to the public five (5) days per week for a minimum of thirty-two (32) hours and shall be operated by a public agency or a nonprofit organization.



Interior of River Heritage Museum

Ineligible Activities

The following is a nonexclusive list of activities that are not eligible for funding nor for innovative match and shall not be included in the cost estimates associated with project applications:

- Contaminated-soil removal associated with underground storage tanks, hazardous waste, and toxic dump cleanup
- Routine maintenance activities performed independently (e.g., repainting, roof repair, graffiti removal, mowing, drainage correction, and curb repairs)
- Administrative expenses (e.g., invoice preparation and processing, grant writing, and bookkeeping)
- Operating expenses and staffing
- Improvements to private property
- Interest payments on borrowed funds
- Rental property improvements for restaurant, retail, or other for-profit businesses
- Relocation expenses for property owners voluntarily selling or donating property
- Construction of recreational facilities and playgrounds
- Condemnation for acquisition of property
- Use of convict labor, including work-release programs
- Required environmental mitigation as determined by the Division of Environmental Analysis and FHWA
- Feasibility study
- Design of a project with no funding commitment to construction of the project
- Displays, segments of buildings, or objects not directly related to transportation

Additional Eligibility Requirements

Financial

The TE program is a reimbursement program. Therefore, the proposed project shall be selected, approved, programmed, and contracted with the KYTC prior to the expenditure of any funds included in the request. **Any funds expended by the applicant before contract execution by the KYTC shall not be reimbursed or utilized as the matching component.** Only elements of a project deemed eligible shall be reimbursed with TE funds.

The project shall include a minimum local match of twenty (20) percent of the total project cost. Written confirmation(s) of the match by the appropriate official or contributor is required to be included in the full application. In-kind contributions (e.g., donated labor, materials, and equipment) may be credited toward the local match if approved by the OLP. A written request for approval of in-kind contributions toward the match is required.

Budget & Maintenance Plans

A comprehensive budget as well as a maintenance plan must be attached to the contract executed by the KYTC. Therefore, a detailed, accurate budget is required throughout the application process. Operating and maintenance costs shall be included and the funding source identified. Examples of costs to be included are those for:

- Project development
- Engineering
- Right-of-Way acquisition
- Construction
- Any other project related costs

The total cost estimate provided in the application will be used to determine the amount of funds awarded. A project may receive funds for a reduced scope or in an amount less than requested.

Due to the limited amount of funding, the total project amount funded with TE funds will be the maximum amount reimbursed. If costs exceed the estimate, the sponsor will be responsible for covering the additional costs and must demonstrate the ability to do so. If a sponsor would like to request to reallocate items in the budget, a budget amendment may be submitted to the OLP for review. **Only two budget amendments will be accepted during the project life cycle.**

A maintenance plan should include a description of how the city or county plans to maintain the infrastructure funded by the project after all of the TE federal funds have been expended. Sponsors are required to maintain this project in perpetuity for the public.

Property Management

Real-estate acquisition for TE projects must follow all the requirements of the Uniform Act, 49CFR Part 24, and all other federal and state laws and regulations.

Federal Highway Administration (FHWA) property management rules require that income generated by the lease, sale, or other use of real property acquired with federal funds shall be on the basis of fair market value. Such income shall be used on this TE project or any other Title 23 (transportation) eligible project. Occupancy of any structure constructed or improved with TE funds is restricted to public entities and nonprofit organizations.

Disposal of these properties is not allowed. Proprietary leases in perpetuity are acceptable. Proprietors are to pay all taxes, carry liability insurance, and maintain the properties in perpetuity for the uses and purposes identified in the original applications. The properties may not be sold. Additionally, a disclaimer statement “hold harmless clause” releasing the state and federal governments from future damages must be included.

Appraisals

Appraisals for the acquisition of real-property interests or for donation credit shall be prepared in accordance with the KYTC and FHWA policies and guidelines using a KYTC pre-qualified appraiser. No appraisal work is to be started until the appraiser has met with the Division of Right of Way and Utilities appraisal personnel to discuss standards, requirements, and valuation problems that may be encountered on the assignment. Preservation easements shall be required on all properties acquired prior to the reimbursement of funds, and the projects shall provide for the public access. Any appraisal must be reviewed and approved by KYTC Central Office review appraisers. Project sponsors shall submit three (3) copies of the appraisal to the OLP for review.

Disadvantaged Business Enterprise (DBE)

The Disadvantaged Business Enterprise (DBE) Program ensures equal opportunity to small, socially, and economically disadvantaged businesses. The KYTC's DBE Directories can be found at www.transportation.ky.gov/OBOD/DBE_Directory.pdf

Wage Requirements

The Davis-Bacon Act (prevailing federal wage) shall apply to TE projects of \$2,000 or greater within the right of way of a federal-aid highway. If the TE project is outside the right of way, the Davis-Bacon Act does not apply. If the cost within the federal-aid highway right of way is greater than \$2,000 for a project partially on and off the right of way, the Davis-Bacon Act applies. Prevailing state wage rates shall apply to all projects with a total cost of \$250,000 or greater. Cost estimates prepared shall consider these requirements.

Projects shall comply with:

- Model Procurement Code as it relates to local public agencies (KRS45A.343, 345-460)
- Title VI of the Civil Rights Act and Environmental Justice, Disadvantaged Business Enterprise
- Uniform Relocation Act

Other requirements are qualifications-based selection of professional services, including engineering and architectural services, and competitive bidding procedures for construction and related activities in addition to any other applicable requirements for federal funding of the specific project.

Americans with Disabilities Act (ADA)

A commitment shall be made to comply with ADA accessibility requirements.

ADA information lines: **800-514-0301 (voice) and 800-514-0383 (TDD)**

Environmental Compliance

All TE projects shall conform with:

- National Environmental Policy Act (NEPA)
- Section 4(f) of 49 United States Code (USC) 303
- National Historic Preservation Act
- Section 404 of the Clean Water Act

Web Resources

Federal Highway Administration

<http://www.fhwa.dot.gov/environment/te/guidance.htm>

Federal Highway Administration SAFETEA-LU Legislation

<http://www.fhwa.dot.gov/reauthorization/index.htm>

KYTC Disadvantaged Business Enterprise Directories

<http://transportation.ky.gov/OBOD/Directories.htm>

Kentucky Heritage Council

<http://www.state.ky.us/agencies/khc/khchome.htm>

Kentucky Transportation Cabinet Environmental Achievements

<http://transportation.ky.gov/enriroach/>

National Park Service American Battlefield Protection Program

<http://www.cr.nps.gov/hps/abpp/>

National Transportation Enhancements Clearinghouse

<http://www.enhancements.org/>

National Transportation Enhancements Guide to TE

<http://www.enhancements.org/misc/TEGuide2002.pdf>

United States Department of Justice Americans with Disabilities Act

<http://www.usdoj.gov/crt/ada/>

Application Process

Applicants must complete requirements from both the KYTC Office of Local Programs and the State Clearinghouse to be considered for funding.

Office of Local Programs Requirements:

Intent-To-Apply Form

The OLP requires all interested persons to complete the Intent-To-Apply form. Completion of this form allows the OLP to review the proposed projects and provide the applicants with valuable information before the completion of a full application.

The only applicants eligible for TE project funding are state and local government agencies. The projects are to serve a public purpose in perpetuity, and the facilities and services provided are to be on a nonprofit basis. To receive funding, nonprofit organizations are to be in partnership with a government sponsor (state or local government agency). The government sponsor is responsible for:

- Soliciting public support
- Obtaining required twenty (20) percent matching funds (federal funds, but not other U.S. Department of Transportation funds, may be used for matching)
- Arranging for match funding and long-term maintenance locally before applying for federal funds
- Administering the project
- Identifying the project in its financial accounting and annual audits

Letter of Invitation

After reviewing the Intent-To-Apply forms, OLP shall send each applicant either (a) a letter of invitation to submit a full application or (b) a letter of ineligibility. **The full application shall be available only to applicants who receive letters of invitation.**

Full Application

Upon receipt of a letter of invitation, the applicant shall have forty-five (45) days from the date stated in the letter to submit the full application. This requirement assures that each applicant shall have the same amount of time to complete the full application.

The applicant is to submit six (6) identical copies of the full application to the OLP. Each copy is to be stapled or bound in a folder (but not in a three-ring binder) and is not to exceed one-half inch in thickness. The government sponsor is to keep the original and at least one copy for its use. The applicant is to identify clearly the government sponsor and the project title on the front of the application packet. The OLP requires that the application packet be postmarked by the date in the letter of invitation. The OLP shall not accept applications postmarked after that date.

The applicant is to submit the application packet to:

Kentucky Transportation Cabinet
Department of Rural and Municipal Aid
Office of Local Programs

Transportation Enhancements
200 Mero Street
Frankfort KY 40622

If applying for TE funds for a project that has a relationship with the Renaissance on Main Program, the applicant may want to request a letter of support from the local Renaissance on Main / Main Street organization. The applicant is encouraged to include this letter of support with the full application, along with a map that identifies the Renaissance boundary, with the project located within the boundary to be considered for this funding.

State Clearinghouse Requirements

Pursuant to Presidential Executive Order 12372, the applicant shall submit to the State Clearinghouse for Intergovernmental Review ten (10) copies of only the following before submitting the full application to the OLP:

- Cover letter identifying the funding program
- Application for Federal Assistance (424) form
- Brief narrative describing the project
- Detailed budget
- 8 ½ x 11 topographical map clearly showing the activity for which funding is sought

The Area Development Districts (ADD's) can assist with this activity. A complete list of the Kentucky ADD's and their contact information is located at the end of this guidebook.

The State Clearinghouse does not require that the requesting agency submit the entire application as sent to the OLP. A link to the State Clearinghouse may be found at www.gold.ky.gov/clearinghouse.

The applicant shall submit these documents to:

Department for Local Government
State Clearinghouse
1024 Capital Center Drive, Suite 340
Frankfort KY 40601

If a proposed project is located within an urbanized area, the applicant is to submit an additional copy of these documents to the appropriate Metropolitan Planning Organization (MPO). A list of the MPO's and their contact information is located at the end of this guidebook.

Failure to submit this required form will considerably delay or possibly halt the environmental review process of a selected project.

Review Process

After the deadline for applications, the OLP shall conduct a thorough review of each application and organize the applications for review by the Transportation Enhancement Advisory Committee (TEAC), selected by the OLP. The committee may include, but is not limited to, a representative from each of the following:

- Governor's Office
- Department for Local Government
- Commerce Cabinet
- Kentucky Heritage Council
- MPO Representative

OLP's Selection Criteria:

- Demonstrated need for the project
- Transportation relationship
- Benefit to the community (e.g., job creation, tourism, and economic development)
- Reliable budget and engineering estimates
- Project cost, availability of matching funds to complete the project, ability to leverage other funding, and plans to provide ongoing maintenance costs
- Widespread community support
- Relationship to local, regional, and statewide plans/initiatives
- Demonstrated ability to administer funding, including previous TE funds
- Project readiness for construction (planning, design, and acquisition)
- Overall geographic distribution of TE funds and the mix of projects representing a number of eligible categories.

The OLP shall then provide recommendations to the Secretary of the KYTC for review. Upon that review, the OLP shall forward approved recommendations to the Governor's Office for review. Before the announcement of the awarded projects, the OLP shall review the final list of recommended projects with the Kentucky Division of the Federal Highway Administration (FHWA).

Announcement of Awarded Projects

The OLP shall announce the names of the fund recipients in early summer. Each recipient shall then submit a revised application in which the amount of the budget matches the announced funding amount and any items deemed ineligible have been removed. Once the recipient acceptably revises the applications, the KYTC shall submit to the FHWA the project information for programming of funds for reimbursement. The recipient shall then enter into a contract with the KYTC. **Any action the recipient takes prior to the execution of this contract shall not be eligible for reimbursement unless specifically approved in advance by the KYTC.**

Workshops

After the OLP announces the awards, recipients of funds shall attend an OLP workshop regarding the implementation of the funds. The OLP shall provide a choice of dates and locations. Failure to participate in an implementation workshop can result in the reassignment of funds to another project.

Progress Report

The project contact shall send a progress report available online at www.tea21.ky.gov to the Office of Local Programs (OLP) at the end of each calendar year. The report shall include at a minimum:

- Current status of the project
- Funds expended
- Detailed timeline for completion of the project
- Justification for the delay if the project is behind schedule

Timeline

The applicant should be prepared to provide information necessary for programming the funds and entering into a contract with the KYTC within one (1) year after the announcement. If the contract agreement is not executed within one (1) year of the announcement, funds may be recaptured.

When funds are programmed and a contract agreement executed, the recipient of funding shall have three (3) years to complete the project. Failure to show substantial progress toward completion within the three (3) years may result in the cancellation of TE funding.

Contracting

Following the announcement of TE funding, the project application is sent to the Division of Environmental Analysis (DEA) for clearance. Upon approval from the DEA, the project is submitted to the KYTC Division of Program Management for inclusion in the Statewide Transportation Improvement Plan (STIP) and the Transportation Improvement Plan (TIP), if applicable. (Please see the Appendix for further details.) When the project completes the programming stage, it is reviewed by the Office of Legal Services. The TE contract is then routed to the sponsor for signatures and the adoption of a city or county resolution accepting the contract. The sponsor submits the contract to the OLP, where it is submitted to the KYTC Secretary for final execution.

The fully executed copy of the contract will be sent to the sponsor via email. No work can commence until the sponsor has received the fully executed contract from the KYTC.

Submission of Plans

If the project requires creation or modification of infrastructure, the sponsor must submit all final plans and specifications to the (OLP) for review. **Construction cannot start until the plans are approved by the OLP and written documentation has been sent to the project sponsor.** All applicants are encouraged to work with the historic preservation coordinator within the OLP during the design and preparation process of the final plans. Once submitted to the OLP, the plans will be reviewed within thirty (30) days by the OLP's historic preservation coordinator for compliance with the *Secretary of the Interior's Standards for the Treatment of Historic Properties*, the *Americans with Disabilities Act Guidelines*, and the *Kentucky Heritage Council's Streetscape Design Guidelines for Historic Commercial Districts* as applicable to each project.

After the initial review, the OLP will make a recommendation and the plans will be sent to the Kentucky Heritage Council (KHC) for additional review and compliance of the above guidelines. The KHC also has a thirty (30) day review period. If at any time during the review process there are problems, or if changes are necessary with the plans and specifications, new plans illustrating the changes may be required to be resubmitted for review. Upon completion of the review, the KHC will send a recommendation back to the OLP. The OLP will notify the project applicants by letter with the results of the reviews.

Reimbursement

There are several steps a sponsor must follow in order to be reimbursed for incurred expenses:

- Submit the official OLP invoice form signed by the sponsor.
- Document the contract number in all correspondence.
- Document the Federal Program number in all correspondence.
- Include a brief description of the invoices and work completed.
- Support the invoices with detailed receipts and cancelled checks.
 - All receipts and invoices must have a header including the name and address of the vendor.
 - A description of the services or items purchased must be included.
- Identify the amount of Disadvantaged Business Enterprise (DBE) participation for each invoice submitted if applicable.
- Document the funding match with time sheets, property documents, and records of in-kind contributions.

Project Closure

When the project is completed, the sponsor should submit the final invoice along with the project closure form, available online at www.tea21.ky.gov to the Kentucky Transportation Cabinet (KYTC) Office of Local Programs (OLP). After this form is submitted, the OLP will audit the project site and the final invoice will be processed. The sponsor will be paid either the balance remaining on the total funding award or the amount of the final invoice, whichever is less.

Contact Information

Transportation Cabinet
Office of Local Programs-TE
200 Mero Street, 6th Floor
Frankfort, KY 40622
(502) 564-2060
(502) 564-6615 Fax

Additional information may be accessed from the following:

www.tea21.ky.gov Electronic copies of this document may be downloaded from this site.

National Transportation Enhancements Clearinghouse (NTEC)
www.enhancements.org. This site provides project examples from across the country.